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2826/\$

Practitioner's Docket No.: 782\_213

PATENT

## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re the application of: Takafumi YAO, Hiromitsu UCHIYAMA and  
Takaharu IWADACHI

Ser. No.: 10/051,614

Art Unit: 2826

Filed: January 18, 2002

Examiner: Thomas L. Dickey

Conf. No.: 9025

For: SEMICONDUCTOR LIGHT-EMITTING ELEMENT HAVING FIRST AND  
SECOND EPITAXIAL LAYER GROUP II-VI SEMICONDUCTOR COMPOUNDS  
ON A SUBSTRATE

"EXPRESS MAIL" mailing label number EV 406992407 US.

I hereby certify that this paper or fee is being deposited on *February 13, 2004*  
with the United States Postal Service "Express Mail Post Office to Addressee"  
service under 37 CFR §1.10 addressed to: Commissioner for Patents, P.O.  
Box 1450, Alexandria, VA 22313-1450.

*Elizabeth A. VanAntwerp*  
Elizabeth A. VanAntwerp

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

TRANSMITTAL OF INFORMATION DISCLOSURE STATEMENT  
UNDER 37 CFR §1.97(d)

TIME OF TRANSMITTAL OF ACCOMPANYING  
INFORMATION DISCLOSURE STATEMENT

1. The information disclosure statement transmitted herewith is being filed *after*:

- (1) a final action under §1.113,
- (2) a notice of allowance under §1.311, or
- (3) an Office Action that closes prosecution,

but before, or simultaneously with, the payment of the issue fee.

STATEMENT AND FEE

2. In accordance with the requirements of 37 CFR §1.97(d):

A. Accompanying this transmittal is a statement, as specified in 37 CFR §1.97(e).

B. Applicant(s) submit(s) the submission fee set forth in §1.17(p) (\$180.00).

**METHOD OF PAYMENT OF FEE**

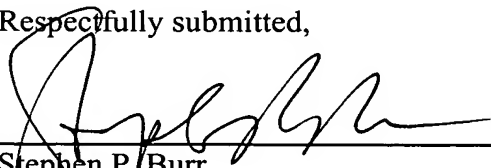
3. ☒ Attached is a check in the amount of \$180.00.  
☐ Charge Account 50-1446 in the amount of \_\_\_\_\_.  
A duplicate of this paper is attached.

If any additional fees are due, please charge Deposit Account 50-1446.

Respectfully submitted,

February 13, 2004

Date

  
\_\_\_\_\_  
Stephen P. Burr  
Reg. No. 32,970

SPB/eav

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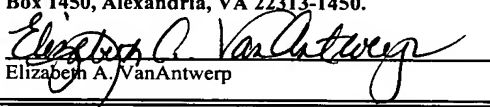
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Elizabeth A. VanAntwerp

**CERTIFICATION UNDER 37 CFR §1.97(e)**

Sir:

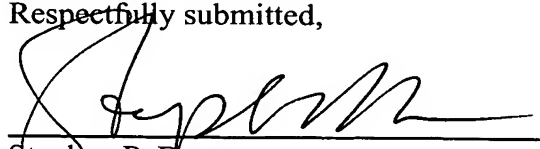
- ☒ Each item of information contained in the Information Disclosure Statement filed  
herewith was *first* cited in a communication from a foreign patent office in a  
counterpart foreign application not more than three months prior to the filing of this  
Information Disclosure Statement.

OR

- ☐ No item of information in the Information Disclosure Statement filed herewith was  
cited in a communication from a foreign patent office in a counterpart foreign  
application or, to my knowledge after making reasonable inquiry, was known to any  
individual designated in 37 C.F.R. § 1.56(c) more than three months prior to the filing  
of this Information Disclosure Statement.

Respectfully submitted,

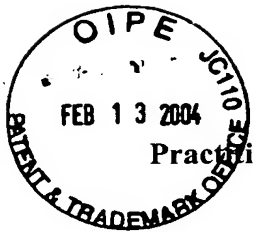
February 13, 2004  
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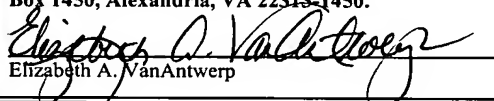
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Elizabeth A. VanAntwerp

**INFORMATION DISCLOSURE STATEMENT**

Sir:

Pursuant to 37 C.F.R. §1.56, the attention of the Patent and Trademark Office is  
hereby directed to the references listed on the attached Form PTO-1449. Copies of each of  
the references listed on Form PTO-1449 are attached.

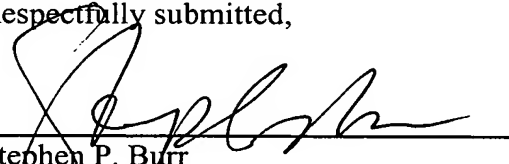
Also enclosed is a copy of a Japanese Search Report bearing a mailing date of  
February 3, 2004 from a corresponding Japanese patent application, and the U.S. PTO is  
directed thereto for a concise statement of possible relevance of the references cited therein.

The above information is presented so that the Patent and Trademark Office may, in  
the first instance, determine any materiality thereof to the claimed invention. It is

respectfully requested that the information be expressly considered during the prosecution of this application, and that these references be made of record therein and appear among the "References Cited" on any patent to issue therefrom.

The Commissioner is hereby authorized to charge any additional fees associated with this communication or credit any overpayment to Deposit Account No. 50-1446.

Respectfully submitted,



Stephen P. Burr  
Reg. No. 32,970

February 13, 2004  
Date

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Form PTO-1449 US DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE <div style="text-align: center; margin-top: 10px;"> <b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>  <i>(use as many sheets as necessary)</i> </div>				<i>Complete if Known</i>	
				Application Number	10/051,614
				Filing Date	January 18, 2002
				First Named Inventor	Takafumi YAO
				Art Unit	2826
				Examiner Name	Thomas L. Dickey
				Confirmation No.	9025
Sheet	1	of	1	Attorney Docket No.	782_213

### U.S. PATENT DOCUMENTS

Exam. Initial		Document Number	Date	Name	Our Docket No.	Class	Sub Class	Filing Date

### U.S. COPENDING APPLICATIONS

Exam. Initial		Application/ Publication Number	Filing/ Publication Date	Inventor Name	Our Docket No.	Class	Sub Class

### FOREIGN PATENT DOCUMENTS

		Document Number	Date	Country	Class	Sub Class	Translation	Abstract
	<i>AF</i>	11-135838	05-21-1999	JP			JPO Machine Translation	✓
	<i>AG</i>	10-027946	01-27-1998	JP			JPO Machine Translation	✓
	<i>AH</i>	10-022527	01-23-1998	JP			JPO Machine Translation	✓

### OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages etc.)


Examiner:		Date Considered:	
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EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.